

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 2-2005)

ATTORNEY'S DOCKET NUMBER

121036-0086

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**10/541330**INTERNATIONAL APPLICATION NO.  
**PCT/JP2004/000459**INTERNATIONAL FILING DATE  
**24 JANUARY 2004**PRIORITY DATE CLAIMED  
**28 JANUARY 2003**

## TITLE OF INVENTION

**PROCESS FOR PREPARING AQUEOUS DISPERSION**

## APPLICANT(S) FOR DO/EO/US

**Toshimasa SAGAWA, Haruyoshi TATSU, and Masayosi HORIUTI**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

**Items 13 to 23 below concern document(s) or information included:**

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☒ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. **EV 468352284 US**
23. ☒ Other items or information:

**Cited References  
Fee Transmittal**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
10/541330		PCT/JP2004/000459		121036-0086	
The following fees are submitted:				CALCULATIONS PTO USE	
24. <input checked="" type="checkbox"/> Basic national fee . . . . . \$300				\$	\$300.00
25. <input checked="" type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4). . . . . \$100 All other situations. . . . . \$200				\$	\$200.00
26. <input type="checkbox"/> Search fee . . . . . \$100 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority . . . . . \$400 International Search Report prepared and provided to the Office . . . . . \$500 All other situations. . . . . \$500				\$	\$400.00
TOTAL OF 24, 25 and 26 =				\$	\$900.00
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE		
- 100 =	0	/50 =	0	x	\$250.00
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	15 - 20 =	0	x \$50.00	\$	\$0.00
Independent claims	1 - 3 =	0	x \$200.00	\$	\$0.00
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00				\$	\$0.00
TOTAL OF ABOVE CALCULATIONS =				\$	\$900.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	\$0.00
SUBTOTAL =				\$	\$900.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	\$0.00
TOTAL NATIONAL FEE =				\$	\$900.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$	\$40.00
TOTAL FEES ENCLOSED =				\$	\$940.00
				Amount to be	\$
				Amount to be	\$
<p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>12-2136</u> in the amount of <u>\$940.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>12-2136</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p>					
<p><b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <p>Michael S. Gzybowski BUTZEL LONG 350 South Main Street Suite 300 Ann Arbor, MI 48104</p>					
				SIGNATURE	
				Michael S. Gzybowski	
				NAME	
				32,816	
				REGISTRATION NUMBER	

10/541330

JUL 20 2005 PCT/PTO NO. 1 12166-02205

"EXPRESS MAIL" COVER LETTER  
U.S. PATENT APPLICATION

Date: July 1, 2005

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: APPLICANTS: Toshimasa SAGAWA, Haruyoshi TATSU, and Masayosi HORIUTI

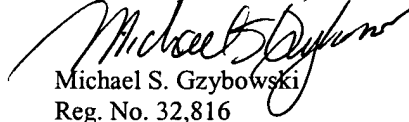
TITLE OF INVENTION: PROCESS FOR PREPARING AQUEOUS DISPERSION

Sir:

Forwarded herewith is the above-identified application, consisting of the following:

Express Mail Cover Letter  
Certificate of Mailing by "Express Mail"  
Transmittal Letter to the U.S. Designated/Elected Office Concerning a Filing  
Under 35 U.S.C. 371 - **In Duplicate**  
PCT Publication of International Application No. PCT/JP2004/000459 (Publication No. PCTWO2004/067579A1)  
Translation of International Application No. PCT/JP2004/000459 (Publication No. PCTWO2004/067579A1) into  
English Including Specification (14 pages), Claims (2 pages) and Abstract (1 page)  
Preliminary Amendment (6 pages)  
PCT/USA National Declaration and Power of Attorney (2 pages)  
International Search Report (PCT/ISA/210) in English and Japanese (4 pages)  
Information Disclosure Statement (2 pages)  
Information Disclosure Statement (PTO-1449) with Cited References  
Recordation Form Cover Sheet (PTO-1595)  
Assignment (1 page)  
Fee Transmittal (1 page)  
Return Post Card

Respectfully submitted,



Michael S. Gzybowski  
Reg. No. 32,816

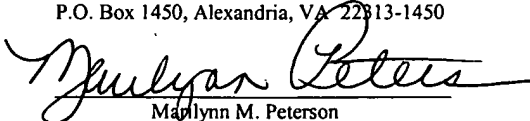
Attorney for Applicant

BUTZEL LONG  
350 South Main Street  
Suite 300  
Ann Arbor, MI 48104  
734-995-3110 (ph)

"EXPRESS MAIL" Mailing No. EV 468352284 US

Date of Deposit: July 1, 2005

I hereby certify that this paper is being deposited with  
The United States Postal Service "EXPRESS MAIL  
POST OFFICE TO ADDRESSEE" service under  
37 CFR 1.10 on the date indicated above and is addressed  
to the Mail Stop PCT, Commissioner for Patents,  
P.O. Box 1450, Alexandria, VA 22313-1450



Marilynn M. Peterson

Doc Code:

PTO/SB/17 (12-04v2)

App. for use through 07/31/2006. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Effective on 12/08/2004. Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818). <h2 style="margin: 0;">FEE TRANSMITTAL</h2> <h3 style="margin: 0;">for FY 2005</h3>		<b>Completed Known</b> <span style="font-size: 1.5em;">10/541330</span>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Application Number	Unknown
		Filing Date	July 1, 2005
		First Named Inventor	Toshimasa SAGAWA, et al
		Examiner Name	Unknown
		Art Unit	Unknown
<b>TOTAL AMOUNT OF PAYMENT (\$)</b>		<b>\$940.00</b>	
		Attorney Docket No. 121036-0086	

**METHOD OF PAYMENT** (check all that apply)

☐ Check  
 ☐ Credit Card  
 ☐ Money Order  
 ☐ None  
 ☐ Other (please identify): \_\_\_\_\_

☒ Deposit     
 Deposit Account Number: 12-2136     
 Deposit Account Name: BUTZEL LONG

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below     
 ☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or any underpayment of fee(s) under 37 CFR 1.16 and 1.17     
 ☒ Credit any overpayments

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**FEE CALCULATION**

**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid(\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES**

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

**Multiple Dependent Claims**

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
15 - 20 or HP = 0	x \$50.00	= \$0.00	

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
1 - 3 or HP = 0	x \$200.00	= \$0.00	

HP = highest number of independent claims paid for, if greater than 3.

**3. APPLICATION SIZE FEE**


If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listing under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
- 100 = 0	/ 50	0 (round up to a whole)	x \$250.00	= \$0.00

**4. OTHER FEE(S)**

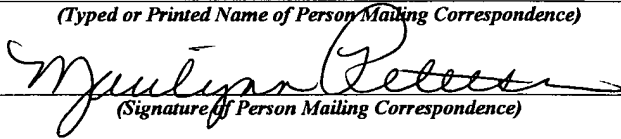
Non-English specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): **BASIC NATIONAL FILING FEE AND RECORDATION FEE** **\$940.00**

<b>SUBMITTED BY</b>			
Signature		Registration No. (Attorney/Agent)	32,816
Name (Print/Type)	Michael S. Gzybowski	Telephone	734.995.3110
		Date	July 1, 2005

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b>			Docket No. 121036-0086	
Applicant(s): Toshimasa SAGAWA, Haruyoshi TATSU, and Masayosi HORIUTI				
Application No. — <b>10/541330</b>	Filing Date July 1, 2005	Examiner Unknown	Customer No. 35684	Group Art Unit Unknown
Invention: <b>PROCESS FOR PREPARING AQUEOUS DISPERSION</b>				
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 5px; margin: 5px 0;"> Express Mail Cover Letter, Transmittal Letter to the U.S. Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371 - In Duplicate, PCT Publication of International Application No. PCT/JP2004/000459 (Publication No. PCTWO2004/067579A1), Translation of International Application No. PCT/JP2004/000459 (Publication No. PCTWO2004/067579A1) into English Including Specification (14 pages), Claims (2 pages) and Abstract (1 page), Preliminary Amendment (6 pages), PCT/USA National Declaration and Power of Attorney (2 pages), International Search Report (PCT/ISA/210) in English and Japanese (4 pages), Information Disclosure Statement (2 pages), Information Disclosure Statement (PTO-1449) with Cited References, Recordation Form Cover Sheet (PTO-1595), Assignment (1 page), Fee Transmittal (1 page) and Return Post Card </div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on <u>July 1, 2005</u> <i>(Date)</i></p> <div style="text-align: center; margin-top: 20px;"> <p><b>Marilynn M. Peterson</b> <i>(Typed or Printed Name of Person Mailing Correspondence)</i></p> <hr style="width: 80%; margin: 5px auto;"/>  <i>(Signature of Person Mailing Correspondence)</i> </div> <div style="text-align: center; margin-top: 20px;"> <p><b>EV 468352284 US</b> <i>("Express Mail" Mailing Label Number)</i></p> </div>				
<p><b>Note: Each paper must have its own certificate of mailing.</b></p>				